**Post-Award At-Risk Job Aid**

At-risk can be requested for existing awards (Post-Award At-Risk) and for projects for which ASU has never received a notification of award (Pre-Award At-Risk). The process to request a Pre-Award At-Risk and a Post-Award At-Risk is different:

* If you want to request an at-risk for a project that has an existing Award in ERA (AWD000XXXXX), you will need to process a [Post-Award At-Risk](https://researchadmin.asu.edu/procedures/execute-project/wi-ep-130#Post-Award-At-Risk-Requests).
* If you want to request an at-risk for project that does not have an existing Award in ERA (AWD000XXXXX), you will need process a [Pre-Award At-Risk](https://researchadmin.asu.edu/sites/default/files/ASU-At-Risk-Request-Form.pdf).

## **At-Risk Request Processing Flow**

# **At-Risk Request Documentation Matrix**

|  |  |  |
| --- | --- | --- |
| **Award Type** | **Award Status** | **Support Documentation** |
| **Existing Award** | Existing Notice of Award or Agreement explicitly states intent to fund future years of the project.  **AND**  ASU is waiting to receive an award modification to obligate additional funds and/or extend period of performance. | ERA Award ID or Copy of Notice of Award |
| Existing Notice of Award does NOT explicitly mention intent to fund future years of the project.  **AND**  ASU is waiting to receive an award modification to obligate additional funds and/or extend period of performance. | Written notification from Sponsor’s Authorized Representative that includes the following:   * Award start date and period of performance * Anticipated award amount * When do they expect to send the agreement? * Any changes to terms and conditions? |

# **OKED Cost Guarantee**

The Award Change Request in ERA will automatically determine if your request is eligible of a Knowledge Enterprise Guarantee based on the following:

|  |  |  |
| --- | --- | --- |
| **Qualifications for OKED Guarantee** | | |
| Funding mechanism is a Grant or Cooperative Agreement | | |
| **AND** | | |
| Sponsor is one of the following: | | |
| Air Force Office of Scientific Research | Space Telescope Science Institute | National Science Fndtn |
| US Dept. of Education | Army Medical Research and Material Command | US Dept of Energy |
| Army Research Office | US Dept. of Health and Human Services | National Insts of Health |
| US Dept. of Homeland Security | National Aeronautics and Space Administration | US Dept. of State |
| US Dept. of Interior | National Oceanic and Atmospheric Admin | US Dept. of Agriculture |
| US Dept. of Commerce | DOD Office of Naval Research | US Dept. of Justice |
| **AND**  Unit provides all required information and documents including sponsor backup documentation of intent to fund | | |

# **Additional Information**

**At-Risk Request Limits**

*For First At-Risk Requests*

At-risk requests for funds cannot exceed 25% of the expected annual budget (inclusive of F&A)

At-risk period of performance cannot exceed 90 days.

At-risk period of performance cannot extend beyond the anticipated project end date.

*Second/Third At-Risks may have different limitations contact your PNT GCO for more information.*

**At-Risk for Time Only:** Used for active multi-year awards expected to continue for at least one additional project year and have an available balance. If approved, the at-risk will extend the account while ASU waits to receive the award modification. *Important Considerations for Awards in the Last Year of the Project: Units are reminded that At-risk requests and No Cost Extensions are two separate processes. Units looking to extend a project in the last year of performance need to request a No-Cost Extension by submitting an* [*Award Change Request*](https://researchadmin.asu.edu/era/awards-change) *for a* [*NCE*](https://researchadmin.asu.edu/procedures/execute-project/wi-ep-130#No-Cost_Extension) *in ERA. Units wanting to request an At-Risk for Time Only while the NCE is in progress can do so only after the NCE request has been submitted to AMT.*